

IN THE UNITED STATES PATENT AND TRADEMARK  
OFFICE  
REQUEST FOR FILING  
(RULE 53(b)(1))

00909

FOR DESIGN OR UTILITY APPLICATIONS  
(DO NOT USE FOR CIPs)

Rule 53(b)(1) PATENT APPLICATION:

- Continuation ) application under 37 CFR 1.53(b)(1)  
 Divisional )  
of pending prior application of

Group Art Unit: 2811

Inventor(s): ITO et al

Examiner: S. Crane

Parent Appln. No.: 09 | 518,724 Atty. Dkt. P 282612 | T36-141808M/KOH  
Series Code ↑ Serial No. ↑ New M# Client Ref

Parent Filed: March 3, 2000

This Appln. Filed: December 17, 2001

Title: GROUP III NITRIDE COMPOUND SEMICONDUCTOR DEVICE

Hon. Commissioner of Patents  
Washington, DC 20231

Date: December 18, 2001  
(Parent Matter No. 257703 )

Sir:

To effect the above-requested filing today:

Attached is a copy (which must be filed) of the prior application, including:

- Abstract  
 Specification and claims (78 pages) (must be attached)  
 Drawings (must be attached if originally filed): 26 sheet(s)/set:  1 set informal;  Formal of size  A4  11"

1A. Always X one box, only:

- (1)  Copy of Signed declaration or oath as originally filed in prior application attached  
(2)  NO declaration or fee is enclosed; therefore, this is a filing under Rule 53(f).

2.  This application is hereby filed by less than all of the inventors named in the prior application. Petition is hereby made requesting deletion as inventor(s) of the following who is/are not inventor(s) of the invention being claimed in this application (DELETE THE FOLLOWING INVENTOR(S)):

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
5. \_\_\_\_\_ 6. \_\_\_\_\_  
7. \_\_\_\_\_ 8. \_\_\_\_\_

2.5 THE INVENTOR(S) FOR THIS NEW APPLICATION IS(ARE):

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
5. \_\_\_\_\_ 6. \_\_\_\_\_  
7. \_\_\_\_\_ 8. \_\_\_\_\_

3. The entire disclosure of the prior application is considered as being part of the disclosure of the accompanying application and is hereby incorporated therein by reference thereto.

4.  Priority is claimed under 35 U.S.C. 119/365 based on filing in JAPAN of  
(country)

| <u>Application No.</u> | <u>Filing Date</u>     | <u>Application No.</u> | <u>Filing Date</u>    |
|------------------------|------------------------|------------------------|-----------------------|
| (1) <u>11-058128</u>   | <u>March 5, 1999</u>   | (2) <u>11-060206</u>   | <u>March 8, 1999</u>  |
| (3) <u>11-061155</u>   | <u>March 9, 1999</u>   | (4) <u>11-090833</u>   | <u>March 31, 1999</u> |
| (5) <u>11-235450</u>   | <u>August 23, 1999</u> | (6)                    |                       |

- a.  \_\_\_\_\_ (No.) Certified copy/copies attached.
- b.  Certified copy/copies previously filed on March 3, 2000 in  
U.S. Application No. 09 / 518,724, filed on March 3, 2000.
- c.  Certified copy/copies filed during International stage of PCT/ \_\_\_\_ / \_\_\_\_ .

- 4(a). (a)  Domestic priority is claimed from PCT/ \_\_\_\_ / \_\_\_\_ , filed \_\_\_\_ .  
 (b)  Benefit is claimed of Provisional Application No. 60/\_\_\_\_, filed \_\_\_\_ .

Assignee (optional) TOYODA GOSEI CO., LTD.

Attached is the following number of Assignments (including original and all later successive ones by  
Different 1 and respective new Cover Sheets. (Do NOT file old cover sheets.)  
assignors): \_\_\_\_\_

(Assignments in parent must be refiled with new Cover Sheets in this continuing application if you want it/them recorded against the continuing application.)

Please return the recorded Assignment to the undersigned.

The power of attorney in the prior application is to Dale S. Lazar 28,872

(Name and Reg. No.)

Whose current address is as in item 8 below.

a.  Recognize as associate attorney John P. Darling 44,482

(Name, Reg. No. and Address)

8. **Address all future communications to Intellectual Property Group  
of Pillsbury Winthrop LLP, 1600 Tysons Boulevard, McLean, VA 22102**

9. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No. 09 / 518,724 filed March 3, 2000

No. / filed \_\_\_\_\_

No. / filed \_\_\_\_\_

No. PCT/ / filed \_\_\_\_\_, which

Designated the U.S. and that International Application  was  was not published under PCT Article 21(2) in English

9(a).  See the attached Preliminary Amendment, which amends the first page of the specification to claim benefit of the above listed US application(s)

10. **Small Entity Status →**  is Not claimed  is claimed (pre-filing confirmation required)

(No.) Small Entity Statement(s) (not essential since 9/8/00) were/are:

filed in above prior application

attached.

11. Petition to extend the life of the above prior application to at least the date hereof

(one box)  is being concurrently filed in that prior application (Use Form PAT-111).

(must be)  was previously filed in that prior application (Check length of prior extension).

(X'd)  is not necessary for copendency (Double check before X'ing this box).

12.  **INFORMATION DISCLOSURE STATEMENT:** Attached is Form PTO-1449 listing all of the documents cited by Applicant and the PTO in the parent application(s) relied upon under 35 USC 120 and referenced in item 9 above. Per Rule 98(d) copies of those documents are not required now. Please consider those documents and advise that they have been considered in this new application as by returning a copy of the enclosed Form PTO-1449 with the Examiner's initials in the left column per MPEP 609. .
13.  Attached is a Rule 103(a) Petition to Suspend Action.
14.  **Please see** the attached Preliminary Amendment which reduces the number of claims for purposes of reducing the initial filing fee.

**FILING FEE**

THE FOLLOWING FILING FEE IS BASED ON

->->->CLAIMS AS FILED AND CHANGED BY PRELIMINARY AMENDMENT IN ITEM 14<-<-<-

**NOTE:** If box 1A2 is X'd, do not pay fees,  
but leave lines 15-22 and 27-32 blank.

|  |                                    |                     |                   | Large/Small Entity | Fee Code     |
|--|------------------------------------|---------------------|-------------------|--------------------|--------------|
| 15. Basic Filing Fee .....   |                                    | Design Application  | \$330/\$165       |                    | 106/26       |
| 16. Basic Filing Fee .....   |                                    | Utility Application | \$740/\$370       | +740               | 101/201      |
| 17. Total Effective Claims   | 11                                 | minus 20 =          | 0                 | x \$18/\$9         | +0           |
| 18. Independent Claims   | 1                                  | minus 3 =           | 0                 | x \$84/\$42        | +0           |
| 19. If any proper multiple dependent claim (ignore improper) is present, |                                    |                     | \$280/\$140       | +0                 | 104/204      |
| 20.  |                                    |                     | <b>Subtotal =</b> | <b>\$740</b>       |              |
| 21. If "petition" box 13 above is X'd, add petition fee. ....            |                                    | \$130               |                   | +0                 | 122          |
| 21A. If box 6 above is X'd, add Assignment recording fee .....           |                                    | \$ 40               |                   | +40                | 581          |
|  |                                    |                     |                   |                    |              |
| 22.  | <b>TOTAL FILING FEE ATTACHED =</b> |                     |                   |                    | <b>\$780</b> |
|  | (carry forward to Item 31)         |                     |                   |                    |              |

23.  ATTACHED:
24.  See the attached Preliminary Amendment
25.  See NONPUBLICATION REQUEST under Rule 213(a) attached (Pat-258)

26.

**ADDITIONAL FEE CALCULATION FOR  
PRELIMINARY AMENDMENT  
PER BOXES 24/25**

|     | <b>Claims<br/>remaining<br/>after<br/>amendment</b>   | <b>Highest<br/>number<br/>previously<br/>paid for</b> | <b>Present<br/>Extra</b>         | <b>Additional<br/>Fee</b> |           |
|-----|---|---|----------------------------------|---------------------------|-----------|
|     | <u>Large/Small Entity</u>   |   |                                  |                           |           |
| 27. | Total Effective Claims _____  | minus ** _____  | = <u>0</u> x \$18/\$9            | = <u>\$ 0</u>             | (103/203) |
| 28. | Independent Claims _____  | minus *** _____                                       | = <u>0</u> x \$84/\$42           | = + <u>0</u>              | (102/202) |
| 29. | If amendment enters proper multiple dependent claim(s) into this application for the<br><u>First time</u> , add (per application) ..... |   | \$280/\$140                      | + <u>0</u>                | (104/204) |
| 30. |   |   | ADDITIONAL FEE                   | <u>\$ 0</u>               |           |
| 31. |   |   | Plus FEE from item 22 on page 3  | + <u>780</u>              |           |
| 32. |   |   | <b><u>TOTAL FEE ATTACHED</u></b> | <b><u>\$ 780</u></b>      |           |
| 33. | *If the entry in this space is less than a entry in the next space, the "Present Extra" result is "0"                                   |   |                                  |                           |           |
| 34. | **If the "Highest number previously paid for" (see item 17 above) is less than 20, write "20" in this space                             |   |                                  |                           |           |
| 35. | If the "Highest number previously paid for" (see item 18 above) is less than 3, write "3" in this space                                 |   |                                  |                           |           |
|     | 00909   |   |                                  |                           |           |
|     | Our Deposit Account No. 03-3975   |   |                                  |                           |           |
|     | Our Order No. 51273   282612  |   |                                  |                           |           |
|     | C#   M#   |   |                                  |                           |           |

**CHARGE STATEMENT:** Upon the filing of a Declaration pursuant to Rule 60(b) or 60(d), the Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP  
Intellectual Property Group

By Atty: John P. Darling Reg. No. 44,482

Sig: John P. Darling Fax: (703) 905-2500  
Atty./Sec JPD/VPH:ksh Tel: (703) 905-2045

**NOTE No. 1:** File this Request in duplicate with 2 postcard receipts (PAT-103) & attachments

**NOTE No. 2:** Is extension in parent necessary for copendency? DOUBLE CHECK Item 11 above.  
If yes, printout Pat-111 and head it in parent.